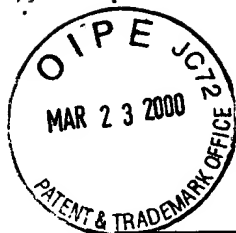


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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

OCR-729/756

Applicants	John L. Wood, <i>et al.</i>
Serial No. - 09/482,235	Filing Date: January 13, 2000
Title	Glycosylated Indolocarbazole Synthesis

Office of Initial Patent Examinations Customer Service Center  
U.S. Patent Office  
Washington, DC 20231

**Request for a Corrected Filing Receipt**

Dear Sir or Madam:

The Continuing Data Claimed by Applicant on the filing receipt for the above-referenced application issued on March 16, 2000 was incorrect. It should read

This application is a divisional of 09/206,082 filed 12/04/1998  
which was a CIP of 08/817,230 filed 06/04/1997  
which was a 371 of PCT/IB96/00987 filed 08/09/1996  
claiming benefit of 60/002,164 filed 08/11/95.

Please see corrections made on the attached receipt, as well as documentary evidence of the changes requested, including reference to parent case 09/206,082 on the utility transmittal, a copy of which is attached hereto; a copy of the filing receipt for the parent case, also attached; and a copy of the PCT cover sheet, also attached. The relevant dates and numbers are highlighted.

Thank you for your prompt attention to this request.

Respectfully submitted,

March 21, 2000

Mary M. Krinsky, Registration No. 32,423  
Attorney for Applicants  
79 Trumbull Street  
New Haven, CT 06511  
(203) 773-9544

I hereby certify that this correspondence is today being deposited with the U.S. Postal Service as "First Class Mail" in an envelope addressed to the Office of Initial Patent Examinations, U.S. Patent Office, Washington, DC 20231.

March 21, 2000

  
Mary M. Krinsky

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Bib Data Sheet

**UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office**Address: COMMISSIONER OF PATENTS AND TRADEMARKS  
Washington, D.C. 20231

<b>SERIAL NUMBER</b> 09/482,235	<b>FILING DATE</b> 01/13/2000 <b>RULE</b> -	<b>CLASS</b> 548	<b>GROUP ART UNIT</b> 1613	<b>ATTORNEY DOCKET NO.</b> OCR-729/756
<b>APPLICANTS</b> John L. Wood, Hamden, CT ; Brian M. Stoltz, New Haven, CT ; Hans-Jurgen Dietrich, Krefeld-Gartenstadt, GERMANY; Derek A. Pflum, New Haven, CT ;				
<b>** CONTINUING DATA *****</b> THIS APPLICATION IS A DIV OF 09/206,082 12/04/1998 PAT 6,037,468 WHICH IS A CIP OF 08/817,230 06/04/1997 ABN WHICH IS A 371 OF PCT/IB96/00987 08/09/1996 WHICH CLAIMS BENEFIT OF 60/002,164 08/11/1995				
<b>** FOREIGN APPLICATIONS *****</b>				
<b>IF REQUIRED, FOREIGN FILING LICENSE GRANTED ** SMALL ENTITY **</b> <b>** 03/16/2000</b>				
Foreign Priority claimed <input type="checkbox"/> yes <input checked="" type="checkbox"/> no 35 USC 119 (a-d) conditions <input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> Met after met Verified and Allowance Acknowledged <i>Brenda Coleman</i> <i>BC</i> Examiner's Signature Initials		<b>STATE OR COUNTRY</b> CT	<b>SHEETS DRAWING</b> -	<b>TOTAL CLAIMS</b> 20
				<b>INDEPENDENT CLAIMS</b> 2
<b>ADDRESS</b> Mary M Krinsky 79 Trumbull Street New Haven ,CT 06511-3708				
<b>TITLE</b> Glycosylated indolocarbazole synthesis				
<b>FILING FEE RECEIVED</b> 345	FEES: Authority has been given in Paper No. _____ to charge/credit DEPOSIT ACCOUNT No. _____ for following:		<input type="checkbox"/> All Fees <input type="checkbox"/> 1.16 Fees ( Filing ) <input type="checkbox"/> 1.17 Fees ( Processing Ext. of time ) <input type="checkbox"/> 1.18 Fees ( Issue ) <input type="checkbox"/> Other _____ <input type="checkbox"/> Credit	



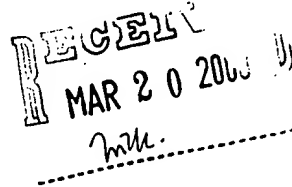
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APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/482,235	01/13/2000	1613	345	OCR-729/756	-	20	2

Mary M Krinsky  
79 Trumbull Street  
New Haven, CT 06511-3708

Date Mailed: 03/16/2000

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## Applicant(s)

John L. Wood, Hamden, CT ;  
Brian M. Stoltz, New Haven, CT ;  
Hans-Jurgen Dietrich, Krefeld-Gartenstadt, GERMANY ;  
Derek A. Pflum, New Haven, CT ;

## Continuing Data as Claimed by Applicant

THIS APPLICATION IS A CIP OF 08/817,230 06/04/1997 ABN  
WHICH IS A 371 OF PCT/IB96/00987 ~~09/08/1996~~ 08/09/1996

## Foreign Applications

claiming benefit of 60/002,164 08/11/95

If Required, Foreign Filing License Granted 03/16/2000

\*\* SMALL ENTITY \*\*

## Title

Glycosylated indolocarbazole synthesis

## Preliminary Class

548

Data entry by : HARRISON, BRUCE

Team : OIPE

Date: 03/16/2000



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PTO/SB/05 (4/98)  
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<b>UTILITY PATENT APPLICATION TRANSMITTAL</b> <small>(Only for new nonprovisional applications under 37 C.F.R. § 1.53(b))</small>	Attorney Docket No.	OCR-729/756
	First Inventor or Application Identifier	John Wood
	Title	Glycosylated Indolocarbazole Synthesis
	Express Mail Label No.	EL308939123US

APPLICATION ELEMENTS <small>See MPEP chapter 600 concerning utility patent application contents.</small>	ADDRESS TO: Assistant Commissioner for Patents Box Patent Application Washington, DC 20231	
1. <input checked="" type="checkbox"/> Fee Transmittal Form (e.g., PTO/SB/17) <small>(Submit an original and a duplicate for fee processing)</small>	5. <input type="checkbox"/> Microfiche Computer Program (Appendix)	
2. <input checked="" type="checkbox"/> Specification [Total Pages 31] <small>(preferred arrangement set forth below)</small> <ul style="list-style-type: none"><li>- Descriptive title of the Invention</li><li>- Cross References to Related Applications</li><li>- Statement Regarding Fed sponsored R &amp; D</li><li>- Reference to Microfiche Appendix</li><li>- Background of the Invention</li><li>- Brief Summary of the Invention</li><li>- Brief Description of the Drawings (if filed)</li><li>- Detailed Description</li><li>- Claim(s)</li><li>- Abstract of the Disclosure</li></ul>	6. Nucleotide and/or Amino Acid Sequence Submission <small>(if applicable, all necessary)</small> <ul style="list-style-type: none"><li>a. <input type="checkbox"/> Computer Readable Copy</li><li>b. <input type="checkbox"/> Paper Copy (identical to computer copy)</li><li>c. <input type="checkbox"/> Statement verifying identity of above copies</li></ul>	
3. <input type="checkbox"/> Drawing(s) (35 U.S.C. 113) [Total Sheets <input type="checkbox"/>	<b>ACCOMPANYING APPLICATION PARTS</b> <ul style="list-style-type: none"><li><input type="checkbox"/> Assignment Papers (cover sheet &amp; document(s))</li><li>8. <input type="checkbox"/> 37 C.F.R. § 3.73(b) Statement <input type="checkbox"/> Power of Attorney <small>(when there is an assignee)</small></li><li>9. <input type="checkbox"/> English Translation Document (if applicable)</li><li>10. <input type="checkbox"/> Information Disclosure Statement (IDS)/PTO-1449 <input type="checkbox"/> Copies of IDS Citations</li><li>11. <input type="checkbox"/> Preliminary Amendment</li><li>12. <input checked="" type="checkbox"/> Return Receipt Postcard (MPEP 503) <small>(Should be specifically itemized)</small></li><li>13. <input type="checkbox"/> Small Entity Statement filed in prior application, Status still proper and desired (PTO/SB/09-12)</li><li>14. <input type="checkbox"/> Certified Copy of Priority Document(s) (if foreign priority is claimed)</li><li>15. <input type="checkbox"/> Other: _____</li></ul>	
4. Oath or Declaration [Total Pages <input ]<ul="" type="checkbox"/> <li>a. <input type="checkbox"/> Newly executed (original or copy)</li> <li>b. <input checked="" type="checkbox"/> Copy from a prior application (37 C.F.R. § 1.63(d)) <small>(for continuation/divisional with Box 16 completed)</small><ul style="list-style-type: none"><li>i. <input type="checkbox"/> DELETION OF INVENTOR(S) Signed statement attached deleting inventor(s) named in the prior application, see 37 C.F.R. §§ 1.63(d)(2) and 1.33(b).</li></ul></li>		
<b>* NOTE FOR ITEMS 1 &amp; 13: IN ORDER TO BE ENTITLED TO PAY SMALL ENTITY FEES, A SMALL ENTITY STATEMENT IS REQUIRED (37 C.F.R. § 1.27), EXCEPT IF ONE FILED IN A PRIOR APPLICATION IS RELIED UPON (37 C.F.R. § 1.28).</b>		
16. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment: <input type="checkbox"/> Continuation <input checked="" type="checkbox"/> Divisional <input type="checkbox"/> Continuation-in-part (CIP) of prior application No: 09 / 206,082 Prior application information: Examiner L. Stockton Group / Art Unit: 1613 <b>For CONTINUATION or DIVISIONAL APPS only:</b> The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 4b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.		

17. CORRESPONDENCE ADDRESS					
<input type="checkbox"/> Customer Number or Bar Code Label <small>(Insert Customer No. or Attach bar code label here)</small>			or <input checked="" type="checkbox"/> Correspondence address below		
Name	Mary M. Krinsky				
Address	79 Trumbull Street				
City	New Haven	State	CT	Zip Code	06511-3708
Country	U.S.A.	Telephone	203-773-9544	Fax	023-773-1183

Name (Print/Type)	Mary M. Krinsky	Registration No. (Attorney/Agent)	32423
Signature	<i>Mary M. Krinsky</i>	Date	Jan. 13, 2000

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APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTORNEY DOCKET NO.	DRWGS	TOT CL	IND CL
09/206,082	12/04/98	1613	\$380.00	OCR- <del>2265</del>		20	3

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MARY M. KRINSKY  
88 PROSPECT STREET  
NEW HAVEN CT 06511-3797

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Applicant(s) JOHN L. WOOD, HAMDEN, CT; BRIAN M. STOLTZ, CAMBRIDGE, MA.

CONTINUING DATA AS CLAIMED BY APPLICANT-  
THIS APPLN IS A CIP OF 08/817,230 06/04/97  
PROVISIONAL APPLICATION NO. 60/002,164 08/11/95

FOREIGN APPLICATIONS- PCT PCT/IB96/00987 08/09/96

FOREIGN FILING LICENSE GRANTED 12/28/98 \* SMALL ENTITY \*  
TITLE  
GLYCOSYLATED INDOLOCARBAZOLE SYNTHESIS

PRELIMINARY CLASS: 548



## INTERNATIONAL APPLICATION PUBLISHED UNDER THE PATENT COOPERATION TREATY (PCT)

(51) International Patent Classification <sup>6</sup> : <b>C07C</b>	<b>A2</b>	(11) International Publication Number: <b>WO 97/07081</b>
		(43) International Publication Date: 27 February 1997 (27.02.97)

(21) International Application Number: PCT/IB96/00987

(22) International Filing Date: 9 August 1996 (09.08.96)

(30) Priority Data:  
60/002,164 11 August 1995 (11.08.95) US

(71) Applicant (for all designated States except US): YALE UNIVERSITY [US/US]; Yale Station, New Haven, CT 06520 (US).

(72) Inventors; and

(75) Inventors/Applicants (for US only): WOOD, John, L. [US/US]; 72 Pickwick Road, Hamden, CT 06517 (US). STOLTZ, Brian, M. [US/US]; Apartment No. 1, 7 Cottage Street, New Haven, CT 06510 (US). DIETRICH, Hans-Jürgen [DE/DE]; Breslauer Strasse 31, D-47829 Krefeld-Gartenstadt (DE). PFLUM, Derek, A. [US/US]; 69 Pearl Street, New Haven, CT 06510 (US).

(74) Agent: KRINSKY, Mary, M.; St. Onge Steward Johnston &amp; Reens, 986 Bedford Street, Stamford, CT 06905 (US).

(81) Designated States: AL, AM, AT, AU, AZ, BB, BG, BR, BY, CA, CH, CN, CZ, DE, DK, EE, ES, FI, GB, GE, HU, IL, IS, JP, KE, KG, KP, KR, KZ, LK, LR, LS, LT, LU, LV, MD, MG, MK, MN, MW, MX, NO, NZ, PL, PT, RO, RU, SD, SE, SG, SI, SK, TJ, TM, TR, TT, UA, UG, US, UZ, VN, ARIPO patent (KE, LS, MW, SD, SZ, UG), Eurasian patent (AM, AZ, BY, KG, KZ, MD, RU, TJ, TM), European patent (AT, BE, CH, DE, DK, ES, FI, FR, GB, GR, IE, IT, LU, MC, NL, PT, SE), OAPI patent (BF, BJ, CF, CG, CI, CM, GA, GN, ML, MR, NE, SN, TD, TG).

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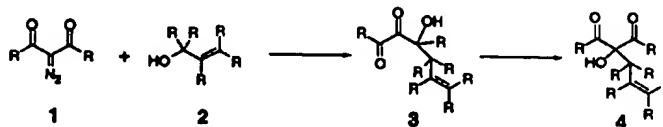


(54) Title: GLYCOSYLATED INDOLOCARBAZOLE SYNTHESIS

## (57) Abstract

Tertiary alcohols containing the structural features illustrated in 3 or 4 (Scheme I) are prepared by reacting at least one diazo carbonyl compound, (e.g., 1 in Scheme I) and at least one allylic alcohol (e.g., 2 in Scheme I) in a coupling reaction run under conditions that produce carbene or carbenoid intermediates from the diazo-containing substrate such as transition metal catalysis or either thermal or photochemical decomposition. In some preferred embodiments,  $Rh_2(OAc)_4$  is employed to catalyze the coupling reaction. In Scheme I R represents a substituent comprised of any number and combination of the elements H, C, N, S, Si, O, Cl, Br, I, and F. Indolocarbazoles (e.g., 7 in Scheme II) are prepared by coupling of diazo carbonyl compounds (e.g., 5 Scheme II) and biindoles (e.g., 6 in Scheme II). Indolocarbazoles are furanosylated (e.g., 7 in Scheme II) with acetals (e.g., 8 in Scheme II) or their open chain congeners (e.g., 9 in Scheme II) under conditions known to promote acetal exchange or formation, such as protic or Lewis acids. Furanosylated indolocarbazoles (e.g., 10 in Scheme II) are also prepared via ring contraction of pyranosylated indolocarbazoles (e.g., 11 in Scheme II) under conditions known to effect oxidation and benzylic acid type rearrangements, and pyranosylated indolocarbazoles (e.g., 11 in Scheme II) are prepared via ring expansion of the furanosylated congeners (e.g., 10 in Scheme II).

## Scheme I



## Scheme II

